

11/16/01

J1048 U.S. PTO

11-27-01

A

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	HAU199 CON	
	First Inventor	David T. Bailey	
	Title	High Purity Beta-Carotene and Process for Obtaining Same	
	Express Mail Label No.	EL791520170US	
APPLICATION ELEMENTS		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
<div>1. <input checked="" type="checkbox"/> Fee Transmittal Form (submit an original and a duplicate for fee processing)</div> <div>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</div> <div>3. <input checked="" type="checkbox"/> Specification total pages: 23 (preferred Arrangement set forth below)<ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R&D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings- Detailed Description- Claim(s)- Abstract of the Disclosure</div> <div>4. <input checked="" type="checkbox"/> Drawing(s) [total sheets: 4]</div> <div>5. <input checked="" type="checkbox"/> Oath or Declaration total sheets: 2]<ul style="list-style-type: none">a. <input type="checkbox"/> Newly executed (original or copy)b. <input checked="" type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d))<ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</div> <div>6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76</div> <div>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</div> <div>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)<ul style="list-style-type: none">a. <input type="checkbox"/> Computer Readable Formb. <input type="checkbox"/> Specification Sequence Listing on:<ul style="list-style-type: none">i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); orii. <input type="checkbox"/> paperc. <input type="checkbox"/> Statements verifying identity of above copies</div>			
ACCOMPANYING APPLICATION PARTS			
9. <input type="checkbox"/> Assignment Papers (coversheet/document(s))			
10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement (when there is an assignee)		<input type="checkbox"/> Power of Attorney	
11. <input type="checkbox"/> English Translation			
12. <input type="checkbox"/> Document		<input type="checkbox"/> Copies of IDS Citations	
13. <input type="checkbox"/> IDS & Form 1449			
Preliminary Amendment			
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)			
15. <input type="checkbox"/> Certified Copy of Priority Document(s)			
16. <input type="checkbox"/> Request & Certification under 35 USC 122(b)(2)(B)(i)			
17. <input checked="" type="checkbox"/> Other: Certificate of Express Mailing			
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: 08/864,103 Prior application information: Examiner: W. Griffin Group/Art Unit: 1764 FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
19. CORRESPONDENCE ADDRESS			
<input type="checkbox"/> Customer Number or Bar Code Label or <input checked="" type="checkbox"/> Correspondence address below			
Name		Steven C. Petersen	
		Hogan & Hartson, LLP	
Address		1200 17 th Street Suite 1500	
City	Denver	State	CO
Country	US	Telephone	(720) 406-5315
		Fax	(720) 406-5301
Name (Print/Type)		Registration No.	41,226
(Signature)		Date	Nov. 14, 2001

J1017 U.S. PTO

10/001880

11/16/01



FEE TRANSMITTAL for FY 2002

Complete if Known

Application Number	
Filing Date	
First Named Inventor	David Bailey
Examiner Name	
Group / Art Unit	
Attorney Docket No.	HAU199 CON

TOTAL AMOUNT OF PAYMENT (\$) (\$)**920.00**

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

50-1123

Deposit
Account
Name

Hogan & Hartson L.L.P.

- ☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17
☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
710	370	Utility Filing Fee	370.00
320	160	Design filing fee	
490	245	Plant filing fee	
710	355	Reissue filing fee	
150	75	Provisional filing fee	

SUBTOTAL (1) (\$)**370.00**

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
52	-20**= 32	X 9	= 288
Independent Claims 9	-3**= 6	X 42	= 252
Multiple Dependent			= 0

**or number previously paid, if greater, For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	**Reissue independent claims over original patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**540**

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR §1.129(b))	
710	355	Request for Continued Examination	
900	900	Request for expedited examination of a design application	
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY Complete (if applicable)

Name (Print/Type) Sarah O'Rourke

Registration No.
(Attorney/Agent)

41,226

Telephone

(720) 406-5385

Signature

Date

Nov 16, 2001

Repln. Ref: 12/07/2001 CHATLE1 0022321600
DOI: 501123 Name/Number: 10001880
FC: 704 \$10.00 CR

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David Bailey, *et al.*

Serial No.: Not Yet Accorded

Filing date: Not Yet Accorded

For: High Purity Beta-Carotene and Process for
Obtaining Same

Group Art Unit: Not Yet Accorded

Examiner: Not Yet Accorded

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal Form;
2. Specification (23 pages);
3. Drawings (4 pages);
4. Copies of Declarations from U.S. Serial No. 08/864,103;
5. Fee Transmittal Form (in duplicate);
6. Check in the amount of \$920;
7. Certificate of Mailing by Express mail; and
8. Return postcard

Receipt date granted
is 11/16/01.
J. Chang
from OPLA

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL791520170US, with the United States Postal Service, addressed to Box PATENT APPLICATION, The Assistant Commissioner for Patents, Washington, D.C., 20231. The above listed documents were presented to the U.S. Postal Service on November 16, 2001, and accepted on same date. On November 19, 2001, the above documents in the original Express envelope were returned with a statement of "Temporary Suspension (Express Mail) due to Heightened Security".

The undersigned hereby certifies that the enclosed, unopened, postmarked Express Mail Envelope contains the documents listed above, and is being deposited as "Registered Mail", with the United States Postal Service, addressed to Box FILING DATE, The Assistant Commissioner for Patents, 2900 Crystal Drive, Arlington, VA 22202-3513 on November 19, 2001.

All statements made therein of the party's own knowledge are true, all statements made therein on information and belief are believed to be true, and all statements made therein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject

to the penalties set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom.

Date November 19, 2001

November 19, 2001
Date

Mailer Sarah O'Rourke

Sarah O'Rourke

Sarah O'Rourke, Reg. No. 41,226

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11/19/01 10:00 AM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David Bailey, *et al.*

Serial No.: Not Yet Accorded

Filing date: Not Yet Accorded

For: High Purity Beta-Carotene and Process for
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Group Art Unit: Not Yet Accorded

Examiner: Not Yet Accorded

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Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

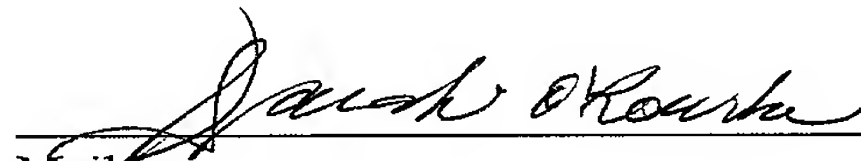
Sir:

The undersigned hereby certifies that the following documents:

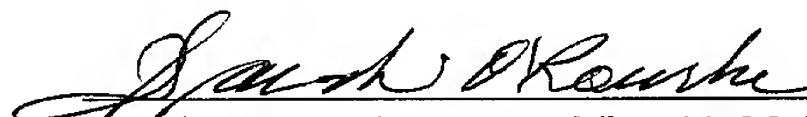
1. Utility Patent Application Transmittal Form;
2. Specification (23 pages);
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November 16, 2001
Date


Mailer

November 16, 2001
Date


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